

IFW 1636/\$

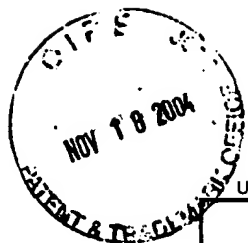
PTO/SB/21 (08-03)
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TRANSMITTAL FORM (to be used for all correspondence after initial filing)		Application Number	09/646,807
		Filing Date	December 5, 2000
		First Named Inventor	Michael GRAHAM
		Art Unit	1636
		Examiner Name	D. Sullivan
Total Number of Pages in This Submission	12 + 112 refs	Attorney Docket Number	546322000321

ENCLOSURES (Check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate, 2 pages) <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration <input type="checkbox"/> Extension of Time Request (1 page) <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement 3 pgs. <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (1 page) (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): PTO Form 1449 – 6 pgs. 112 references
<div>Remarks</div>		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	MORRISON & FOERSTER LLP (Customer No. 20872) Michael R. Ward – 38,651
Signature	
Date	November 16, 2004

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FEE TRANSMITTAL for FY 2004

Effective 10/01/2003, Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 180.00

Complete if Known

Application Number 09/646,807
Filing Date December 5, 2000
First Named Inventor Michael W. GRAHAM
Examiner Name D. Sullivan
Art Unit 1636
Attorney Docket No. 546322000321

METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit Card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit Account Number 03-1952

Deposit Account Name Morrison & Foerster LLP

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments

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FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

SUBTOTAL (1) (\$ 0.00

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
46	-46** =		
Independent Claims	5	-5** =	
Multiple Dependent			

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 0.00

** or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet.	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	180.00
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37CFR 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 180.00

SUBMITTED BY

Name (Print/Type) Michael R. Ward

Registration No. (Attorney/Agent)

38,651

(Complete if applicable)

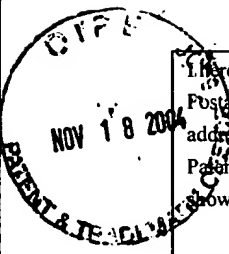
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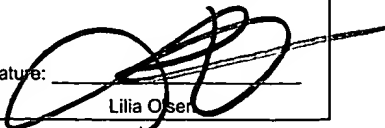
Michael R. Ward

Date

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Dated: November 16, 2004 Signature:  Lilia Oser

PATENT
Docket No.: 546322000321

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

Michael Wayne GRAHAM and
Robert Norman RICE

Serial No.: US 09/646,807

Filing Date: December 5, 2000

For: CONTROL OF GENE EXPRESSION

Examiner: D. Sullivan

Group Art Unit: 1636

**SUPPLEMENTAL INFORMATION DISCLOSURE
STATEMENT UNDER 37 C.F.R. § 1.97 & 1.98**

MAIL STOP: AMENDMENT
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

Dear Sir:

Pursuant to 37 C.F.R. § 1.97 and § 1.98, Applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO-1449. Pursuant to the USPTO notice dated July 11, 2003, waiving the requirement under 37 C.F.R. § 1.98 (a)(2)(i) to provide copies of U.S. Patents and U.S. Published Applications, copies of those references are not submitted. Copies of foreign documents and non-patent literature are submitted herewith.

The Examiner is requested to make these documents of record.

11/22/2004 AWONDAF1 00000001 031952 09646807

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sf-1708758

This Supplemental Information Disclosure Statement is submitted:

- ☐ With the application; accordingly, no fee or separate requirements are required.
- ☐ Before the mailing of a first Office Action after the filing of a Request for Continued Examination under § 1.114. However, if applicable, a certification under 37 C.F.R. § 1.97(e)(1) has been provided.
- ☐ Within three months of the application filing date or before mailing of a first Office Action on the merits; accordingly, no fee or separate requirements are required. However, if applicable, a certification under 37 C.F.R. § 1.97(e)(1) has been provided.
- ☒ **After receipt of a first Office Action on the merits but before mailing of a final Office Action or Notice of Allowance.**
 - ☐ A fee is required. A check in the amount of ___ is enclosed.
 - ☒ **A fee is required. Accordingly, a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.**
 - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided above; accordingly, no fee is believed to be due.
- ☐ After mailing of a final Office Action or Notice of Allowance, but before payment of the issue fee.
 - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided above and a check in the amount of ___ is enclosed.
 - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided above and a Fee Transmittal form (PTO/SB/17 is attached to this submission in duplicate.)

Applicants would appreciate the Examiner initialing and returning the Form PTO-1449, indicating that the information has been considered and made of record herein.

The information contained in this Supplemental Information Disclosure Statement under 37 C.F.R. § 1.97 and § 1.98 is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does

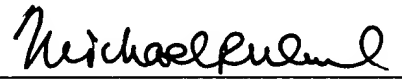
not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

In the unlikely event that the transmittal form is separated from this document and the Patent Office determines that an extension and/or other relief (such as payment of a fee under 37 C.F.R. §1.17(p)) is required, Applicants petitions for any required relief including extensions of time and authorize the Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to Deposit Account No. 03-1952 referencing 546322000321. However, the Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

Dated: November 16, 2004

Respectfully submitted,

By:



Michael R. Ward
Registration No. 38,651

Morrison & Foerster LLP
425 Market Street
San Francisco, California 94105-2482
Telephone: (415) 268-6237
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Form PTO-1449

Docket Number **546322000321**Application Number **09/646,807****INFORMATION DISCLOSURE CITATION
IN AN APPLICATION**

(Use several sheets if necessary)

Applicant

Michael Wayne GRAHAM and Robert Norman RICE

Filing Date **December 5, 2000**Group Art Unit **1636**

Mailing Date

November **16**, 2004**U.S. PATENT DOCUMENTS**

Examiner Initials	Ref. No.	Date	Document No.	Name	Class	Subclass	Filing Date If Appropriate
	1.	03/02/1993	US 5,190,931	Inouye			
	2.	05/04/1993	US 5,208,149	Inouye			
	3.	12/21/1993	US 5,272,065	Inouye et al.			
	4.	09/04/2003	US 2003/0165894 A1	Waterhouse et al.			

FOREIGN PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Country	Class	Subclass	Translation YES NO	
	5.	02/01/2001	AU 729454	Australia				
	6.	06/14/1995	EP 0465572B1	EP				
	7.	11/12/1992	WO 92/19732	WO				
	8.	01/20/1994	WO 94/01550	WO				
	9.	08/31/1995	WO 95/23225	WO				
	10.	11/27/1997	WO 97/44460	WO				
	11.	11/26/1998	WO 98/53083	WO				
	12.	09/30/1999	WO 99/49029A1	WO				
	13.	12/02/1999	WO 99/61631	WO				
	14.	08/03/2000	WO 00/44895	WO				
	15.	08/03/2000	WO 00/44914	WO				
	16.	09/27/2001	WO 01/70949	WO				
	17.	03/20/2003	WO 03/022052	WO				
	18.	04/03/2003	WO 03/027298	WO				
	19.	07/10/2003	WO 03/056012	WO				

EXAMINER:

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Form PTO-1449

Docket Number **546322000321**Application Number **09/646,807**

Applicant

Michael Wayne GRAHAM and Robert Norman RICE

Filing Date **December 5, 2000**Group Art Unit **1636**

Mailing Date

November **16**, 2004

**INFORMATION DISCLOSURE CITATION
IN AN APPLICATION**

(Use several sheets if necessary)

OTHER DOCUMENTS

(including author, title, Date, Pertinent Pages, Etc.)

Examiner Initials	Ref. No.	Title
	20.	Agrawal et al. (2003) "RNA Interference: Biology, Mechanism, and Applications" Microb. Mol. Biol. Rev. 67:657-685.
	21.	Agrawal et al. (1995) "Self-Stabilized Oligonucleotides as Novel Antisense Agents" pp 105-120.
	22.	Bahramian et al. (1999) "Transcriptional and Posttranscriptional Silencing of Rodent $\alpha 1(I)$ Collagen by a Homologous Transcriptionally Self-Silenced Transgene" Molecular and Cellular Biology 19 (1): 274-283.
	23.	Bhan et al. (1997) "2',5'-Linked Oligo-3'-deoxyribonucleoside Phosphorothiate Chimeras: Thermal Stability and Antisense Inhibition of Gene Expression" Nucleic Acids Research 1 (16): 3310-3317.
	24.	Boldin et al. (1996) "Involvement of MACH, a Novel MORT1/FADD-Interacting Protease, in Fas/APO-1- and TNF Receptor-Induced Cell Death" Cell 85: 803-815.
	25.	Borecky et al. (1981-1982) "Therapeutic Use of Double-Stranded RNAs in Man" Tex Rep Biol Med 14: 575-581.
	26.	Braich et al. (1997) Regiospecific Solid-Phase Synthesis of Branched Oligonucleotides Effect of Vicinal 2',5'- (or 2',3'-) and 3',5'-Phosphodiester Linkages on the Formation of Hairpin DNA" Bioconjugate Chem 8: 370-377.
	27.	Carthew (2001) "Gene Silencing By Double-Stranded RNA" Curr. Op. Cell. Biol. 13: 244-248.
	28.	Cohli et al. (1994) "Inhibition of HIV-1 multiplication in a human CD4+ lymphocytic cell line expressing antisense and sense RNA molecules containing HIV-1 packaging signal and Rev response element(s)" Antisense Research and Development 4: 19-26.
	29.	Couzin (2002) "Small RNAs Make Big Splash" Science 298: 2296-2297.
	30.	Czauderna (2003) "Structural Variations and Stabiling Modifications of Synthetic siRNAs in Mammalian Cells" Nucleic Acids Research 31 (11): 1-12.
	31.	Doench et al. (2003) "siRNA Can Function as miRNAs" Genes and Development 17:438-442.
	32.	Elbashir et al. (2001) Functional Anatomy of siRNAs for mediating Efficient RNAi in Drosophila Melanogaster Embryo Lysate" The EMBO Journal 20 (23): 6877-6888.
	33.	Elbashir et al. (2002) "Analysis of Gene Function in Somatic Mammalian Cells Using Small Interfering RNAs" Methods 26: 199-213.
	34.	Fire et al. (1991) "Production of Antisense RNA Leads to Effective and Specific Inhibition of Gene Expression in C. Elegans Muscle" Development 113(2): 503-514.
	35.	Flavell, R. B. (1994) "Inactivation of Gene Expression in Plants as a Consequence of Specific Sequence Duplication" Proc. Natl. Acad. Sci., 91:3490-3496.

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Form PTO-1449

Docket Number **546322000321**Application Number **09/646,807**

Applicant

Michael Wayne GRAHAM and Robert Norman RICE

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November ~~12~~ 2004INFORMATION DISCLOSURE CITATION
IN AN APPLICATION

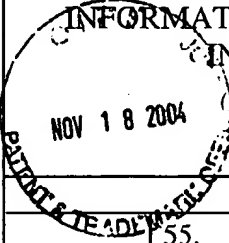
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| 36. | Fraser et al. (1996) "Effects of c-myc first exons and 5' synthetic hairpins on RNA translation in oocytes and early embryos of <i>Xenopus laevis</i> " <i>Oncogene</i> 12(6):1223-30. |
| 37. | Giordano et al. (2000) "RNAi Triggered By Symmetrically Transcribed Transgenes in <i>Drosophila Melanogaster</i> " <i>Genetics</i> 160:637-648. |
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| 39. | Grasby et al. (Purine Functional Groups in Essential Residues of the Hairpin Ribozyme Required for Catalytic Cleavage of RNA" <i>Biochemistry</i> 34: 4068-4076. |
| 40. | Griffey (1996) 2'-O-Aminopropyl Ribonucleotides: A Zwitterionic Modification That Enhances The Exonuclease Resistance and Biological Activity of Antisense Oligonucleotides" <i>J. Med. Chem</i> 39: 5100-5109. |
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| 42. | Ha et al. (1996) "A Bilged 1in-4/1in-14 RNA Duplex is Sufficient For <i>Caenorhabditis Elegans</i> 1in-14 Temporal Gradient Formation" <i>Gene and Development</i> 10: 3041-3050. |
| 43. | Hannon (2002) "RNA Interference" <i>Nature</i> 418: 244-251. |
| 44. | Hoke et al. (1991) "Effects of phosphorothioate capping on antisense oligonucleotide stability, hybridization and antiviral efficacy versus herpes simplex virus infection", <i>Nucleic Acids Research</i> 19 (20): 5743-5748. |
| 45. | Hungarian Patent Office Search Report mailed July 13, 2004, for Hungary patent application no. P0101225, 1 page. |
| 46. | International Search Report mailed on May 10, 2001, for PCT patent application no. PCT/AU01/00297 filed March 16, 2001, 2 pages. |
| 47. | International Search Report mailed on November 14, 2002, for PCT patent application no. PCT/AU02/01326 filed September 27, 2002, 4 pages. |
| 48. | Jorgensen et al. (1999) "Do Unintended Antisense Transcripts Contribute To Sense Cosuppression in Plants" <i>TIG</i> 15:11-12. |
| 49. | Kennerdell et al. (2000) "Heritage Gene Silencing in <i>Drosophila</i> Using Double-Stranded RNA" <i>Nature Biotechnology</i> 18:896-898. |
| 50. | Kennerdell et al. (1998) "Use of dsRNA-Mediated Genetic Interference to Demonstrate that Frizzled and Frizzled 2 Act in the Wingless Pathway" <i>Cell</i> 95: 1017-1026. |
| 51. | Kibler et al. (1997) "Double Stranded RNA is a Trigger for Apoptosis in Vaccinia Virus Infected Cells" <i>Journal of Virology</i> 71(3): 1992-2003. |
| 52. | Kitabwalla et al. (2002) "RNA Interference--A New Weapon Against HIV and Beyond", <i>N Engl J Med</i> 347 (17): 1364-1367. |
| 53. | Klink et al. (2000) The Efficacy of RNAi in the Study of the Plant Cytoskeleton" <i>J. Plant Growth Reg.</i> 19: 371-384. |
| 54. | Kowolik (2001) "Locus Control Region of the Human CD2 Gene in a Lentivirus Vector Confers Position-Independent Transgene Expression" <i>Journal of Virology</i> 75 (10): 4641-4648. |

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Form PTO-1449		Docket Number 546322000321	Application Number 09/646,807		
INFORMATION DISCLOSURE CITATION IN AN APPLICATION (Use several sheets if necessary) 		Applicant Michael Wayne GRAHAM and Robert Norman RICE			
		Filing Date December 5, 2000	Group Art Unit 1636		
		Mailing Date November 12, 2004			
	55.	Kowolik et al. (2002) "Preferential Transduction of Human Hepatocytes with Lentiviral Vectors Pseudotyped By Sendai Virus F Protein" Molecular Therapy 5 (6): 762-769.			
	56.	Kozak (1989) "Circumstances and mechanisms of inhibition of translation by secondary structure in eucaryotic mRNAs" Mol. Cell. Biol. 9:5134-5142.			
	57.	Kreutzer et al. "Specific Inhibition of Viral Gene Expression by Double-Stranded RNA <i>in Vitro</i> " Fall Meeting S169.			
	58.	Kumar et al. (1998) "Antisense RNA: Function and Fate of Duplex RNA in Cells of Higher Eukaryotes" Microbiology and Molecular Biology Reviews 62 (4): 1415-1434.			
	59.	Li et al. (2000) "Double-Stranded RNA Injections Produces Null Phenotype in Zebrafish" Dev. Biol. 217(2):394-405. Erratum in: Dev. Biol. (2000) 220(2):432.			
	60.	Liebhaber et al. (1992) "Translation inhibition by an mRNA coding region secondary structure is determined by its proximity to the AUG initiation codon" J. Mol. Biol. 226:609-621.			
	61.	Lin et al. (1999) "Policing Rogue Genes" Nature 402: 128-129.			
	62.	Lingelbach et al. (1988) "An extended RNA/RNA duplex structure within the coding region of mRNA does not block translational elongation" Nuc. Acids Res. 16 3405-3414.			
	63.	Lipinski et al. (1997) "Experimental and Computational Approaches to Estimate Solubility and Permeability in Drug Discovery and Development Settings" Advanced Drug Delivery Reviews 23: 3-25.			
	64.	Liszewicz et al. (1991) "Tat-Regulated Production of Multimerized TAR RNA Inhibits HIV-1 Gene Expression" New Biologist 3:82-89.			
	65.	Loomis et al. (1991) "Antisense RNA inhibition of expression of a pair of tandemly repeated genes results in a delay in cell-cell adhesion in Dictyostelium" Antisense Res. Dev.1:255-260.			
	66.	Ma et al. (1993) "Design and Synthesis of RNA Miniduplexes via a Synthetic Linker Approach" Biochemistry 32: 1751-1758.			
	67.	Majumdar et al. (1998) "Targeted Gene Knockout Mediated by Tripple Helix Forming Oligonucleotides" Nature Genetics 20: 212-214.			
	68.	McManus et al. (2002) "Gene Silencing in Mammals By Small Interfering RNAs" Nat. Rev. Genet. 3 (10): 737-747.			
	69.	Metzlaff et al. (1997) "RNA-Mediated RNA Degradation and Chalcone Synthase A Silencing in Petunia" Cell 88:845-854.			
	70.	Mikoshiha et al. (1991) "Molecular biology of myelin basic protein: gene rearrangement and expression of anti-sense RNA in myelin-deficient mutants" Comp. Biochem. Physiol. 98:51-61.			
	71.	Milhaud et al. (1991) "Free and Liposome-Encapsulated Double-Stranded RNAs as Inducers of Interferon, Interleukin-6, and Cellular Toxicity" Journal of Interferon Research 11: 261-265.			
	72.	Montgomery et al. (1998) "Double-Stranded RNA as a Mediator in Sequence-Specific Genetic Silencing and Co-Suppression" TIG 14 (7): 255-258.			
	73.	Montgomery et al. (1998) "RNA as a Target of Double-Stranded RNA-Mediated Genetic Interference in Caenorhabditis Elegans" Proc. Natl. Acad. Sci. 95: 15502-15507.			
	74.	Moss et al. (1997) "The Cold Shock Domain Protein LIN-28 Controls Development Timing in C. Elegans and is Regulated by the lin-4 RNA" Cell 88: 637-646.			
<table border="1"> <tr> <td>EXAMINER:</td> <td>DATE CONSIDERED:</td> </tr> </table>				EXAMINER:	DATE CONSIDERED:
EXAMINER:	DATE CONSIDERED:				
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Applicant

Michael Wayne GRAHAM and Robert Norman RICE

Filing Date **December 5, 2000**Group Art Unit **1636**

Mailing Date

November **16**, 2004

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(Use several sheets if necessary)

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Sheet 6 of 6

Form PTO-1449 INFORMATION DISCLOSURE CITATION IN AN APPLICATION <i>(Use several sheets if necessary)</i>	Docket Number 546322000321	Application Number 09/646,807
	Applicant Michael Wayne GRAHAM and Robert Norman RICE	
	Filing Date December 5, 2000	Group Art Unit 1636
	Mailing Date November 16, 2004	

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